

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Brian N. Tufte

Serial No.: 10/075,488

Examiner: Negron, Ismael

Filing Date: February 12, 2002

Group Art Unit: 2875

For: LIGHTING APPARATUS

Docket No.: 1076.1101107

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**CERTIFICATION FOR INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.97(e)**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

|   |
|---|
| <p><b>CERTIFICATE UNDER 37 C.F.R. 1.8:</b> I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450, on this <u>6th</u> day of <u>May</u>, 2003.</p> <p>By: <u>Brian N. Tufte</u></p> |
|---|

Dear Sir:

1. This certification is being made for the Information Disclosure Statement accompanying this certification.

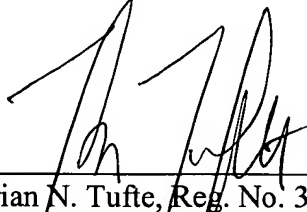
2. I, the person(s) signing below certify:

That each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign

application not more than three months prior to the filing of the statement. 37 CFR  
§1.97(e)(1).

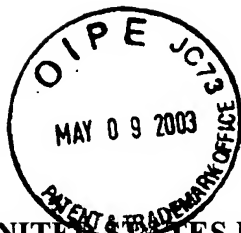
Respectfully submitted,

Dated: May 6, 2003



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Brian N. Tufte, Reg. No. 38,638  
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**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
PO Box 1450  
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**CERTIFICATE UNDER 37 C.F.R. 1.8:** I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the:  
Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450,  
on this 6th day of May, 2003.

By: \_\_\_\_\_

Brian N. Tufte

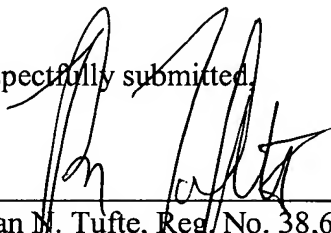
Dear Sirs:

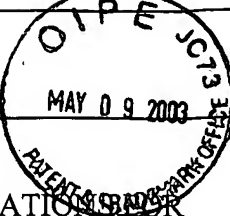
Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

Respectfully submitted,

Dated: May 6, 2003

  
\_\_\_\_\_  
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|   |  |  |  |                                   |                           |
|---|--|--|--|-----------------------------------|---------------------------|
| FORM PTO-1449   |  |  |  | Atty. Docket No.:<br>1076.1101107 | Serial No.:<br>10/075,488 |
| LIST OF PATENTS AND PUBLICATIONS<br>APPLICANT'S INFORMATION<br>DISCLOSURE STATEMENT |  | Applicant: Brian N. Tufte  |  |                                   |                           |
|   |  | Filing Date:   |  | Group Art:                        |                           |
|   |  | February 12, 2002  |  | 2875                              |                           |

### U.S. PATENT DOCUMENTS

| Examiner<br>Initial | Document No. | Date       | Name           | Class | Sub<br>Class | Filing Date<br>If Appropriate |
|---------------------|--------------|------------|----------------|-------|--------------|-------------------------------|
|                     | 3,196,265    | 07/20/1965 | Schneider      |       |              |                               |
|                     | 3,317,722    | 05/02/1967 | F. L. Whitney  |       |              |                               |
|                     | 3,639,748    | 02/01/1972 | Pearson et al. |       |              |                               |
|                     | 4,107,767    | 08/15/1978 | Anquetin       |       |              |                               |
|                     | 4,213,644    | 07/22/1980 | Scrivo et al.  |       |              |                               |
|                     | 4,376,966    | 03/15/1983 | Tieszen        |       |              |                               |
|                     | 5,434,013    | 07/18/1995 | Fernandez      |       |              |                               |
|                     | 6,113,246    | 09/05/2000 | Rub            |       |              |                               |
|                     | 6,461,028 B1 | 10/08/2002 | Huang          |       |              |                               |
|                     |              |            |                |       |              |                               |
|                     |              |            |                |       |              |                               |
|                     |              |            |                |       |              |                               |
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|                     |              |            |                |       |              |                               |
|                     |              |            |                |       |              |                               |

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

|           |                  |
|-----------|------------------|
| EXAMINER: | DATE CONSIDERED: |
|-----------|------------------|

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.